



Swissquote Bank SA  
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United States Bankruptcy Court for the southern  
District of New York (the "Bankruptcy Court")  
One Bowling Green New York  
New York 10004  
Attention: Clerk of the Court  
United States of America

Gland, 29 November 2017

## TRANSFER OF CLAIM

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Dear all,

Please find attached the transfer of claim document duly completed and signed.

Thank you to proceed as requested, and confirm me once the transfer of claim is done :

David Sousa  
Responsible Settlement

Swissquote Bank SA  
Back Office & Banking Applications  
Ch.de la Crétaux 33  
CH-1196 Gland  
Switzerland

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Swissquote Bank SA

**David Sousa**  
Responsible Settlement



Notice Pursuant to Bankruptcy Rule 3001

UNITED STATES BANKRUPTCY COURT  
SOUTHERN DISTRICT OF NEW YORK

In re: Lehman Brothers Holdings Inc.

Case No.: 08-13555 (JMP)  
Court ID (Court Use Only) \_\_\_\_\_

NOTICE OF TRANSFER OF CLAIMS OTHER THAN FOR SECURITY  
PURSUANT TO BANKRUPTCY RULE 3001(E)(2)


CLAIMS HAVE BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. §1111(a). Pursuant to Bankruptcy Rule 3001(e)(2), Transferee hereby gives notice of the transfer, other than for security, of the claims referenced herein.

<u>Name of Transferee:</u> <b>Swissquote Bank SA</b>	<u>Name of Transferor:</u> <b>UBS AG</b>
Notices to Transferee should be sent to: <b>Swissquote Bank SA</b> Chemin de la Cretaux 33 1196 Gland Switzerland +41 22 999 97 99 Attn: Settlement Service Settlement@swissquote.ch	Court Record Address of the Transferor: (Court use only)
Name and Address where transferee payments should be sent (if different from above):	Name and Current Address of Transferor UBS AG Bahnhofstrasse 45 8001 Zurich, Switzerland Attn: Mr. Hugo Koller +41 44 235 37 36 - hugo.koller@ubs.com
<u>Amount of Claim Being Transferred:</u>  CHF 50'000.00 (Face amount)	<b>NOTE: THIS IS A PARTIAL TRANSFER OF CLAIM ONLY --- SEE ATTACHED EVIDENCE OF TRANSFER FOR DETAILS</b>
<u>Court Claim No. (if known):</u> 59233	
<u>Date Claim Filed:</u> October 30, 2009	

I declare under penalty of perjury that the information provided in this notice is true and correct to the best of my knowledge and belief.

By:  **Mathieu Bruneau**  
**Swissquote Bank SA**  
Chemin de la Cretaux 33  
1196 Gland  
Switzerland

Date: 28.11.17

  
**David Sousa**  
Responsible Settlement  
Swissquote Bank SA

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years or both. 18 U.S.C. §§ 152 & 3571. As set forth in the attached Evidence of Transfer of Claim, Transferor has waived to the fullest extent permitted by law any notice or right to receive notice of a hearing under Bankruptcy Rule 3001(e).



**Evidence of Transfer**

**EVIDENCE OF TRANSFER OF CLAIM**

TO: United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court")  
One Bowling Green  
New York, New York 10004  
Attention: Clerk of the Court

AND TO: Lehman Brothers Holdings Inc. (the "Debtor")

Case Name and Number: *In re Lehman Brothers Holdings Inc., No. 08-13555 (JMP)*

Proof of Claim Number 59233 (the "Proof of Claim")

Portion of the Claim Subject to Transfer (the "Transferred Claim"):

**This Evidence of Transfer of Claim relates solely to that portion of the Proof of Claim that is based on the following Lehman Programs Securities:**

DESCRIPTION OF SECURITY	ISIN	ISSUER	GUARANTOR	AMOUNT
Lehman Bro Treasury BV	CH0027120861	Lehman Brothertherss BV		CHF 50'000.00
2007-5.11.10				Out of CHF 4'871'000.00

**The aggregate amount of the Transferred Claim is to Be Determined. For the avoidance of doubt, these Lehman Programs Securities are described on the Addendum to the Proof of Claim.**

**UBS AG ("Transferor")** hereby acknowledges to have unconditionally and irrevocably transferred and assigned to:

**Swissquote Bank SA**  
Chemin de la Cretaux 33  
1196 Gland  
Switzerland  
+41 22 999 97 99  
Attn: Settlement Service  
Settlement@swissquote.ch

(the "Transferee") all rights, title and interest in and to the Transferred Claim against the Debtor in Case No. 08-13555 (JMP) in the Bankruptcy Court, or any other court with jurisdiction over the bankruptcy proceedings of the Debtor.

Transferor hereby waives any objection to the transfer of the Transferred Claim to Transferee on the books and records of the Debtor and the Bankruptcy Court, and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates that an order of the Bankruptcy Court may be entered without further notice to Transferor transferring the Transferred Claim to Transferee and recognizing the Transferee as the sole holder of the Transferred Claim.

You are hereby directed to make all future payments and distributions, and to give all notices and other communications, in respect of the Transferred Claim to Transferee.

IN WITNESS WHEREOF, the undersigned has duly executed this Evidence of Transfer of Claim by its duly authorized representative dated November 27, 2017.

**UBS AG**

Transferor

By: 

Name: Cristoforo Pavone  
Title: Associate Director

By: 

Name: Stephan Gfeller  
Title: Associate Director

ACKNOWLEDGED BY:

**Swissquote Bank SA**

Transferee

By: 

Name: Mathieu Bruneau  
Title: Vice Director

By: 

Name: David Sousa  
Title: Associate Director